

APPENDIX A TO GAO 2020-XX

IMPROVING PROCEDURAL EFFICIENCIES
GUIDELINES AND RECOMMENDATIONS

- I. The following guidelines apply to all docketed proceedings of the Indiana Utility Regulatory Commission (“Commission” or “IURC”):
- A. The Presiding Officers may order ~~A~~all hearings, pre-hearing conferences, technical conferences, ~~and~~ attorney conferences, ~~and uncontested evidentiary or settlement hearings except for public field hearings, may to~~ be conducted electronically:
 - 1) if ~~no party objects~~ if all parties agree; or
 - 2) at the request of any party; ~~and/or~~.
 - 3) ~~at the discretion of, and determination by, the Presiding Officers, on a case-by-case basis.~~
 - B. With the exception of public field hearings, the Presiding Officers may order that any contested hearing, including any contested evidentiary or settlement hearing, be conducted electronically:
 - 1) if all parties agree; or
 - 2) at the request of any party upon good cause shown.
 - C. Any party may object to the request for any electronic hearing and request the hearing be conducted in person.
 - D. Notwithstanding the above, any hearing may be conducted electronically to protect the health and safety of the participants as determined by the Presiding Officers.
- II. The following guidelines and recommendations apply to all Commission docketed proceedings, except for small utility rate case proceedings under Indiana Code § 8-1-2-61.5:
- A. The petitioner must submit written testimony in support of the request(s) made in its petition.
 - B. An index of issues shall be included by any party that has at least ~~four~~eight witnesses providing testimony and at least two of those witnesses ~~are providing~~are testimony on the same issue(s). ~~The example of the Indiana Michigan Power Company rate case (IURC Cause No. 45235) is recommended.~~
 - C. To the extent practicable, ~~A~~any workpapers spreadsheets submitted by any party as ~~workpaper~~ shall be submitted in Excel ~~format spreadsheets~~ with formulas intact and with explicit references to workpapers or linkages to all source or precursor spreadsheets.
 - D. Petitioners are encouraged to provide additional information for background and education in their case-in-chief, including responses to expected questions, to the extent

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practicable and permissible and, if applicable, without unilaterally disclosing confidential settlement negotiations or other confidential information or discussions.

E. Proposed orders shall:

- 1) Provide facts used to support the findings and cite those facts, providing the exhibit name/designation and page number;
- 2) Limit the recitation of facts to those that ~~are~~ the party considers to be the substantive evidence upon which the findings that support the ultimate conclusion(s) ~~are~~ should be based;
- 3) Not contain any new evidence; or ~~new factual~~ arguments not supported by evidence no matter how introduced into the record (i.e., not submitted or made during the evidentiary hearing); and
- 4) Not include settlement agreements entered into after the record is closed.

F. Parties entering into settlement agreements after the record is closed must request that the record be reopened so that parties may present evidence supporting, or opposing, the ~~the parties may provide testimony in support of their~~ settlement agreement.

III. The following guidelines and recommendations apply to all Commission docketed proceedings that include a request for a rate increase or other cost recovery, except for small utility rate case proceedings under Ind. Code 8-1-2-61.5:

- A. A petitioner's case-in-chief shall contain the information needed to support its request(s) and include, either in its petition or in ~~an~~ accompanying summary document testimony, an estimated dollar amount of the revenue increase or for which cost recovery that is being requested and an estimate of the percentage increase in rates, by rate or tariff class, resulting from the impact of the requested revenue increase or cost recovery. In cases in which a petitioner seeks to implement a rate increase in multiple phases, such information should be provided for each phase.
- B. Compliance with Sections II and III of this GAO does not abrogate or otherwise restrict any party's right to contest that the petitioner has failed to meet its burden of proof.

IV. The following guidelines and recommendations apply to all rate cases submitted to the Commission, except for small utility rate case proceedings under Ind. Code 8-1-2-61.5:

- A. At a minimum, in addition to the Balance Sheet and Income Statement, the testimony and workpapers shall present the following specific schedules: Sch. 1 Revenue Requirements, Sch. 4. Net Operating Income, and the Gross Revenue Conversion Factor in the general presentation of municipal and investor-owned utility strawman schedules, which are posted on the Commission's website. Specifically, Sch. 4 *Pro Forma* statement should be detailed by each revenue and expense category. Every adjustment to revenues and expenses should at a minimum include the historical test year or base year, the

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adjustments, and pro-forma amounts, as well as reference(s) to where more detail of the calculation may be found.

V. Pilot programs should:

- A. Provide necessary information;
- B. Describe the use of objective criteria for evaluation of the success or usefulness of the program;
- C. Allow for reasonable flexibility; and
- D. Include testimony regarding why the program benefits all of the utility's customers, not just the participants (i.e., why it is in the public interest of all of the utility's customers).

VI. [Any additional items for this GAO??]